

INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: NC1-266-78-02

All items in this schedule are inactive. Items are either obsolete or have been superseded by newer NARA approved records schedules.

Description:

This schedule is superseded by GRS 2.4

Date Reported: 2/10/2023

NC1-266-78-02

INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

| | |
|--|---|
| LEAVE BLANK | |
| JOB NO | |
| NC1 266 78 2 | |
| DATE RECEIVED | |
| 1 FEB 1978 | |
| NOTIFICATION TO AGENCY | |
| In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10. | |
| 5-2-78 Date | <i>James E. O'Neill</i> Archivist of the United States |

TO: GENERAL SERVICES ADMINISTRATION,
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408

1. FROM (AGENCY OR ESTABLISHMENT)
Securities and Exchange Commission

2. MAJOR SUBDIVISION
Office of the Comptroller

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER
Herbert S. Silbert
Assistant Comptroller

5. TEL. EXT.
755-1515

6. CERTIFICATE OF AGENCY REPRESENTATIVE:

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 9 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

A Request for immediate disposal.

B Request for disposal after a specified period of time or request for permanent retention.

| | | |
|--------------------|--|---|
| C. DATE 1/24/78 | D. SIGNATURE OF AGENCY REPRESENTATIVE <i>Charles A. Moore</i> | E. TITLE Charles A. Moore Records Officer |
|--------------------|--|---|

| 7. ITEM NO. | 8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods) | 9. SAMPLE OR JOB NO. | 10. ACTION TAKEN |
|-------------|--|----------------------|------------------|
| | <p>The Securities and Exchange Commission was created under authority of the Securities Exchange Act of 1934 (48 Stat. 881; 15 U.S.C. 78a to 78jj), and was organized on July 2, 1934. The general objective of the statutes administered by the Securities and Exchange Commission is to provide the fullest possible disclosure to the investing public, and protect the interests of the public and investors against malpractice in the securities and financial markets.</p> <p>The Office of the Comptroller of the Commission proposes to maintain its official records on microfiche for the period 1975 to date, the microfiche to be retained in accordance with the periods specified in the General Records Schedule. Accordingly, the records listed below will cease to have sufficient value to warrant retention in their original form and will be destroyed upon filming or until ascertained that reproduced copies have been made in accordance with GSA regulations and are adequate substitutes for the paper records.</p> | | 49 items |

Sent to agency - 5/3/78

| 7. ITEM NO. | 8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods) | 9. SAMPLE OR JOB NO. | 10. ACTION TAKEN |
|----------------|--|----------------------------|---------------------|
| | <u>Payrolling and Pay Administrative Records</u> (General Records Schedule 2) | | |
| 1. | <u>Individual Accounts Files</u> Individual earning and service cards, SF 1127 | | |
| 2. | <u>Payroll Correspondence Files</u> General correspondence pertaining to payroll preparation and processing. | | |
| 3. | <u>Time and Attendance Report Files</u> Standard Form 1130 (payroll preparation and processing copies). | | |
| 4. | <u>Individual Authorized Allotments Files</u> Standard Form 1192, or other records relating to authorization, changes or cancellation of individual payroll allotments for bond deductions, charitable contributions, savings bonds, union dues, or others. | | |
| 5. | <u>Bond Registration Files</u> Issuing agent's copies of bond registration stubs. | | |
| 6. | <u>Bond Receipt and Transmittal Files</u> Receipts for and transmittals of U. S. Savings Bonds and checks. | | |
| 7. | <u>Bond Purchase Files</u> Forms and reports with related papers pertaining to deposits and purchases of bonds. | | |
| 8. | <u>Leave Application Files</u> Application for leave, SF 71, and supporting papers relating to requests for and approval of taking leave. | | |

Request for Records Disposition Authority - Continuation

JOB NO.

PAGE OF
3 of 9

| 7. ITEM NO. | 8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods) | 9. SAMPLE OR JOB NO. | 10. ACTION TAKEN |
|----------------|--|----------------------------|---------------------|
| 9. | <u>Leave Record Files</u> Leave record cards maintained separately from pay and earnings records, including SF 1130 when used as a leave record (Pay or fiscal copies.) | | |
| 10. | <u>Leave Data Files</u> Records of leave data, SF 1150, prepared except as noted in the Federal Personnel Manual, 293-A-3. (Agency copy.) | | |
| 11. | <u>Notification of Personnel Action Files</u> Copies of SF 50 (pay or fiscal copy). | | |
| 12. | <u>Budget Authorization Reference Files</u> Copies of budget authorizations in operating payroll units used to control personnel ceiling and personnel actions. | | |
| 13. | <u>Payroll Files</u> Memorandum copies of payrolls, check lists, and related certification sheets, such as SF 1013, SF 1128A or equivalents. | | |
| 14. | <u>Payroll Control Files</u> Payroll control registers such as SF 1125A. | | |
| 15. | <u>Payroll Change Files</u> Payroll change slips (copy used in GAO audit). | | |
| 16. | <u>Fiscal Schedulless Files</u> Memorandum copies of fiscal schedules used in payroll process (copy used in GAO audit). | | |

Request for Records Disposition Authority - Continuation

JOB NO.

PAGE OF
4 of 9

| 7. ITEM NO. | 8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods) | 9. SAMPLE OR JOB NO. | 10. ACTION TAKEN |
|----------------|---|----------------------------|---------------------|
| 17. | <u>Administrative Payroll Report Files</u> Reports, statistics, with supporting and related records pertaining to payroll operations and pay administration. | | |
| 18. | <u>Tax Files</u> a. Withholding tax exemption certificates, such as IRS Form W-4, and similar state tax exemption forms. b. Returns on income taxes such as IRS Form W-2. c. Reports of withheld Federal taxes, such as IRS Form W-3, with related papers, including reports relating to income and social security taxes. | | |
| 19. | <u>Retirement Files</u> Reports and registers. Reports, registers or other control documents, and other records relating to the retirement, such as SF 2807 or equivalent. | | |
| 20. | <u>Insurance Deduction Files</u> Reports and related papers including copies of vouchers and schedules of payments pertaining to insurance deductions. | | |
| 21. | <u>Levy and Garnishment Files</u> Official Notice of Levy or Garnishment (IRS Form 668A or equivalent), change slip, workpapers, correspondence, release and other forms, and other records relating to charge against retirement funds or attachment of salary for payment of back income taxes or other debts of Federal employees. | | |

| 7. ITEM NO. | 8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods) | 9. SAMPLE OR JOB NO | 10. ACTION TAKEN |
|----------------|---|---------------------------|---------------------|
| | <u>Budget Preparation, Presentation, and Apportionment Records</u> (General Records Schedule 5) | | |
| 22. | <u>Budget Policy Files</u> Correspondence or subject files documenting agency policy and procedures governing budget administration, and reflecting policy decisions affecting expenditures for agency programs. | | |
| 23. | <u>Budget Estimates and Justifications Files</u> Copies of budget estimates and justifications prepared or consolidated. Included are appropriation language sheets, narrative statements, and related schedules and data. | | |
| 24. | <u>Budget Correspondence Files</u> Correspondence pertaining to routine administration, internal procedures, and other matters not covered elsewhere in this schedule. | | |
| 25. | <u>Budget Reports Files</u> Periodic reports on the status of appropriation accounts and apportionment. | | |
| 26. | <u>Budget Apportionment Files</u> Apportionment and reapportionment schedules, proposing quarterly obligations under each authorized appropriation. | | |

| 7. ITEM NO | 8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods) | 9. SAMPLE OR JOB NO | 10. ACTION TAKEN |
|---------------|---|---------------------------|---------------------|
| | <p><u>Accountable Officers' Accounts Records</u> (General Records Schedule 6)</p> <p><u>Accountable Officers' Files</u></p> | | |
| 27. | a. Accountable officers' accounts maintained for site audit by GAO auditors, consisting of statements of transactions, statements of accountability, collection schedules, collection vouchers, disbursement schedules, disbursement vouchers, and all other schedules and vouchers or documents used as schedules or vouchers, exclusive of freight records and payroll records. | | |
| 28. | b. Memorandum or extra copies of accountable officers' returns including statements of transactions and accountability, all supporting vouchers, schedules, and related papers not covered elsewhere in this schedule, and excluding freight records covered by Schedule 9 and payroll records covered by Schedule 2. | | |
| 29. | <p><u>GAO Exceptions Files</u></p> <p>General Accounting Officer notices of exceptions, such as Standard Form 1100, formal or informal, and related correspondence.</p> | | |
| 30. | <p><u>Certificates Settlement Files</u></p> <p>Copies of certificates of settlement of accounts of accountable officers, statements of differences, and related records.</p> <p>a. Certificates covering closed account settlements, supplemental settlements, and final balance settlements.</p> <p>b. Certificates covering periodic settlements.</p> | | |
| 31. | <p><u>General Fund Files</u></p> <p>Records relating to availability, collection, custody and deposit of funds including appropriation warrants and certificates of deposit (SF 201, 209, and 219), other than those records covered in Item 1 of this schedule.</p> | | |

Request for Records Disposition Authority - Continuation

JOB NO

PAGE OF
7 of 9

| 7. ITEM NO. | 8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods) | 9. SAMPLE OR JOB NO | 10. ACTION TAKEN |
|----------------|---|---------------------------|---------------------|
| 32. | <p><u>Accounting Administrative Files</u></p> <p>Correspondence, reports and data relating to voucher preparation, administrative audit, and other accounting and disbursing operations.</p> | | |
| 33. | <p><u>Gasoline Sales Tickets</u></p> <p>Hard copies of sales tickets in support of paid invoices for credit card purchases of gasoline.</p> | | |
| 34. | <p><u>Telephone Toll Tickets</u></p> <p>Originals and copies of toll tickets filed in support of telephone toll call payments.</p> | | |
| | <p><u>Expenditure Accounting Records</u> (<u>General Accounting Records</u>)</p> | | |
| 35. | <p><u>Expenditure Accounting General Correspondence and Subject Files</u></p> <p>Correspondence or subject files maintained by Comptroller's Office pertaining to internal operations and administration.</p> | | |
| 36. | <p><u>General Accounting Ledgers</u></p> <p>General accounts ledgers, showing debit and credit entries, and reflecting expenditures in summary.</p> | | |
| 37. | <p><u>Appropriation Allotment Files</u></p> <p>Allotment records showing status of obligations and allotments under each authorized appropriation.</p> | | |
| 38. | <p><u>Expenditure Accounting Posting and Control Files</u></p> <p>Records used as posting and control media, subsidiary to the general and allotment ledgers, and not elsewhere covered in this schedule.</p> | | |

Request for Records Disposition Authority - Continuation

JOB NO

PAGE OF
8 of 9

| 7. ITEM NO | 8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods) | 9. SAMPLE OR JOB NO | 10. ACTION TAKEN |
|---------------|--|---------------------------|---------------------|
| | <p style="text-align: center;"><u>Travel and Transportation Records</u> (General Records Schedule 9)</p> <p>39. <u>Freight Files</u> Memorandum copies of government or commercial bills of lading, and all supporting documents; and records relating to shipment of household goods.</p> <p>40. <u>Lost or Damaged Shipments Files</u> Schedules of valuables shipped, correspondence, memoranda, reports and other records relating to the administration of the Government Losses in Shipment Act.</p> <p>41. <u>Passenger Transportation Files</u> Memorandum copies of vouchers (SF 113A), memorandum copies of transportation requests (SF 1169), travel authorizations, transportation request registers, and all supporting papers. a. Issuing office memorandum copy. b. Obligation copy. c. Unused ticked redemption forms, such as SF 1170.</p> <p>42. <u>Passenger Reimbursement Files</u> Records relating to reimbursing individuals, such as travel orders, per diem vouchers, transportation requests, hotel reservations, and all supporting papers documenting official travel by officers, employees, dependents, or others authorized by law to travel. a. Travel administrative office files. b. Obligations copies.</p> | | |

Request for Records Disposition Authority - Continuation

JOB NO

PAGE OF
9 of 9

| 7. ITEM NO. | 8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods) | 9. SAMPLE OR JOB NO | 10. ACTION TAKEN |
|----------------|--|---------------------------|---------------------|
| 43. | <p><u>General Travel and Transportation Files</u></p> <p>a. Correspondence, forms, and related records pertaining to agency travel and transportation functions, not covered elsewhere in this schedule.</p> <p>b. Accountability records.</p> | | |